

FTC-II-11

System Name:

Personnel Security File -- FTC.

Security Classification:

Not applicable.

System Location:

Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Categories of Individuals Covered by the System:

Individuals who, at the time the records are added to the system, are Commission employees on whom Office of Personnel Management security investigations have been conducted.

Categories of Records in the System:

Names, security investigation reports, adjudication files, card files, and position sensitivity designation files.

Authority for Maintenance of the System:

Executive Order 10450.

Purpose(s):

To conduct personnel security investigations; to make determinations required based upon the results of those investigations; and to maintain records of the investigations and determinations.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses:

In addition to the disclosures generally permitted under 5 *U.S.C. 552a(b)*, and the disclosure provisions described in Appendix I of this notice, records or information in these records may be specifically disclosed pursuant to 5 *U.S.C. 552a(b)(3)* as follows, provided that no routine use specified either herein or in Appendix I shall be construed to limit or waive any other routine use:

(1) Used to disclose to an agency in the executive, legislative, or judicial branch, in response to its request, information on the issuance of a security clearance or the conducting of a security or suitability investigation on individuals who, at the time the records are added to the system, were Commission employees.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

Stored in file folders and on file cards.

Retrievability:

Indexed by individual's name.

Safeguards:

Maintained in combination locked safe and lockable metal file cabinets, in locked rooms. Access is restricted to Personnel Security staff. Investigation reports may be reviewed by an agency official (who has been subject to a favorable background investigation) on a strict need-to-know basis.

Retention and Disposal:

Investigation reports are retained for 15 years or until an employee separates from the agency. Records of adjudicative actions are maintained for two years.

System Manager and Address:

Security Officer, Division of Personnel, Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Notification Procedure; Record Access Procedure; and Contesting Record Procedure:

See Appendix II.

Record Source Categories:

Office of Personnel Management Security Investigations Index, FBI Headquarters investigative files, fingerprint index of arrest records, Defense Central Index of Investigations, previous employers, references identified by record subject individual, school registrars, and responsive law enforcement agencies.

System Exempted from Certain Provisions of the Act:

Pursuant to 5 *U.S.C.* 552a(k)(5), records in this system are exempt from the requirements of subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) of 5 *U.S.C.* 552a. See § 4.13(m) of the FTC Rules of Practice, 15 CFR 4.13(m).